



PATENT
Attorney Docket No. BSC-010C2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Crowley CONFIRMATION NO.: 4630
SERIAL NO.: 10/022,965 GROUP NO.: 3737
FILING DATE: December 13, 2001 EXAMINER: Not Yet Assigned
TITLE: Miniature Spectrometer

Commissioner for Patents
Washington, D.C. 20231

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JAN 22 2003
TECHNOLOGY CENTER R3700

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the listed publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

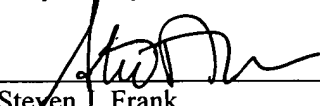
It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,



Steven J. Frank
Attorney for Applicant(s)
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Boston, Massachusetts 02110

Date: January 13, 2003
Reg. No. 33,497

Tel. No.: (617) 310-8108
Fax No.: (617) 248-7100



FORM PTO - 1449

SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: BSC-010C2

APPLICANT(S): Crowley

SERIAL NO.: 10/022,965

FILING DATE: December 13, 2001 GROUP: 3737

U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

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FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)

OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C14	~	International Search Report for PCT/US97/20367 dated March 23, 1998.						
	C15	✓	International Search Report for PCT/US97/20324 dated March 11, 1998.						
	C16	*	International Search Report for PCT/US97/20435 dated May 19, 1998.						
	C17	*	International Search Report for PCT/US98/20019 dated January 20, 1999.						
	C18	*	International Search Report for PCT/US98/20018 dated January 21, 1999.						
	C19	*	International Search Report for PCT/US98/21100 dated February 8, 1999.						

EXAMINER

DATE CONSIDERED

2546749



3737


PATENT
Attorney Docket No. BSC-010C2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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SERIAL NO.: 10/022,965 GROUP NO.: 3737
FILING DATE: December 13, 2001 EXAMINER: Not Yet Assigned
TITLE: Miniature Spectrometer

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Commissioner for Patents, Washington, DC 20231 on this 13th day of January, 2003.


Diane Racicot

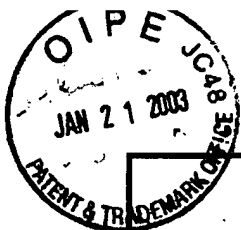
Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith are:

1. Transmittal Form (1 pg.);
2. Supplemental Information Disclosure Statement (2 pgs.);
3. Form PTO-1449 (1 pgs.);
4. Cited References C14-C19;
5. and a return receipt postcard.

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TRANSMITTAL FORM

Application Serial Number	10/022,965
Filing Date	December 13, 2001
First Named Inventor	Crowley
Group Art Unit	3737
Examiner Name	Not Yet Assigned
Attorney Docket No.	BSC-010C2

ENCLOSURES (check all that apply)

- | | | |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form
<input type="checkbox"/> Check Attached
<input type="checkbox"/> Copy of Fee Transmittal Form
<input type="checkbox"/> Amendment/Response
<input type="checkbox"/> After Final
<input type="checkbox"/> Affidavits/declaration(s)
<input type="checkbox"/> Transmittal of Formal Drawing including Drawings [Total Sheets]
<input type="checkbox"/> Extension of Time Request
<input checked="" type="checkbox"/> Supplemental Information Disclosure Statement (2 pgs.)
<input checked="" type="checkbox"/> Form PTO-1449 (1 pg.)
<input checked="" type="checkbox"/> Copies of IDS Citations (C14-C19)
<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Response to Missing Parts/Incomplete Application | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)
<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition
<input type="checkbox"/> To Convert to a Provisional Application
<input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)
<input type="checkbox"/> Terminal Disclaimer
<input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application
<input type="checkbox"/> Small Entity Statement
<input type="checkbox"/> Request for Refund
<input type="checkbox"/> After Allowance Communication to Group | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Return Receipt Postcard
<input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8
<input type="checkbox"/> Additional Enclosure(s) (please identify below) |
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